

ENERGY QUALITY AWARDS

1998

APPLICATION

UNITED STATES
DEPARTMENT OF ENERGY

ENERGY QUALITY COUNCIL

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MESSAGE FROM THE QUALITY COUNCIL

The Energy Quality Council is requesting applications for the fourth annual Energy Quality Awards. During the prior three years, a total of 78 organizations representing over 70,000 DOE laboratory personnel and contractor personnel have submitted applications. The efforts and achievements of 45 of these applicants have been recognized through the formal presentation of Energy Quality Awards.

The goals of the Energy Quality Awards continue to be:

- ◇ positively reinforce the wide adoption of the quality ethic throughout the Energy complex;
- ◇ provide independent, constructive feedback to each participating organization;
- ◇ publicly recognize those organizations which demonstrate quantifiable achievements in quality management, customer service and commitment to continuous improvement; and
- ◇ be inclusive and encourage applications from a widening circle of DOE's organizations.

In 1994 the Department of Energy's "Quality Transformation Plan: A Catalyst for Achieving Energy's Strategic Vision" was distributed. The first goal of that plan stated that first tier headquarters and field operations offices would conduct regular organization assessments using "the Presidential Award for Quality, the Malcolm Baldrige National Quality Award, or equivalent criteria." Today, the current Department of Energy Strategic Plan and the 1998 Agreement with the President continues that requirement. The assessment is intended to help organizations to develop systematic approaches (processes) and solid deployment (implementation) of those approaches in order to achieve excellent results.

Because the goals of the Energy Quality Awards process are not simply to identify and recognize "best in class," the yearly experiences—successes and opportunities for improvement—of all participants are solicited and studied. Wherever possible, changes that facilitate greater participation and attainment of the goals of the Awards process are implemented. This process, for example, led us to conclude for the 1997 year that site visits were so beneficial that they should be continued for all applicants.

Based upon experience, the following changes are being made for the benefit of 1998 Energy Quality Award applicants: the ten-page application format option and the summary of accomplishments have been eliminated. The total page limitation is still 66 (4 pages of business overview and 62 pages of narrative against the criteria). The 1998 Energy Quality Awards Application form (p. F2) must be included with your application, but it is not counted as part of the 66 pages.

All applications must be based on the 1998 Malcolm Baldrige National Quality Award criteria to be accepted.

Thank you in advance for participating and good luck!

The Energy Quality Council - November 1997

VISION

The Energy Quality Award is considered the governmental standard for an internal agency quality award program.

MISSION

The Energy Quality Award, through an Energy Quality Council and Office of Quality Management partnership, is to promote and help organizations throughout the Department of Energy complex demonstrate superior value to their customers by reinforcing the adoption of a sound quality ethic through the use of a proven and successful United States consensus standard—the Malcolm Baldrige criteria.

STRATEGIC OBJECTIVES

1. Positively reinforce the adoption of the quality ethic throughout the DOE complex.
2. Provide constructive feedback to applicant organizations that will stimulate further improvements.
3. Recognize organizations for their level of performance demonstrated through quality management, service to customers, and commitment to excellence.
4. Achieve a planned rate of growth in the quality ethic as demonstrated by both the number of organizations participating in the Energy Quality Award process and the distribution of those organizations across the four levels of performance recognized.
5. Using the Malcolm Baldrige, President's, or Energy Quality Award Criteria, demonstrates continuous organizational improvement by achieving self-assessment scores of at least 300 in FY 1988 and higher scores in subsequent years. (Reference: DOE/PO-0053, Strategic Plan: : Corporate Management Objective 3, Strategy 4, bullet 6)

THE 1998 AWARDS

The **Energy Quality Awards Program** recognizes performance through the following awards:

Excellence Award
Achievement Award
Accomplishment Award
Champion Award
Improvement Award
Commendation Award

An application entry process is open to all organizations meeting the eligibility criteria on page 4. Applications are to be submitted no later than April 30, 1998. Applicants will be eligible for all of the awards shown above. Each award is described in detail beginning on page 3. The number of recipients for any of the six awards named above is open-ended. Evaluation of all submitted applications will follow the criteria found in the 1998 Malcolm Baldrige National Quality Award categories. Those categories are:

1998 Criteria for Performance Excellence

1. Leadership
2. Strategic Planning
3. Customer and Market Focus
4. Information and Analysis
5. Human Resource Focus
6. Process Management
7. Business Results

Applications written to criteria other than that contained above will not be accepted. Applicants should prepare their applications using the 1998 Criteria for Performance Excellence. See “Hints for a High Quality Application” on page 7 and Appendix for criteria, evaluation, and scoring instructions to guide the preparation of your application.

EXAMINERS

Examiners, who self-nominate (see pages F3-F7 in back of booklet) and complete the 1998 training, may be selected to evaluate applications using the 1998 Malcolm Baldrige criteria. Applicants are requested to provide Examiners based upon the organization’s size (see page 5). Examiners from those organizations not submitting an application are encouraged to participate in the awards process; their self-nomination forms will also be considered. Federal personnel from other agencies may also self-nominate for the Energy Quality Award Board of Examiners.

BENEFITS OF PARTICIPATING

As a participant in the **Energy Quality Awards Program**, you can expect to receive numerous benefits. Some are listed below:

- Meet the Government Performance and Results Act (GPRA) requirements for federal organizations to “improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction” and to “improve internal management of the Federal Government” through the DOE Quality Award application.
- Increase customer satisfaction by showing them you are committed to quality through the assessment and improvement of your organization’s performance.
- Accelerate your ability to improve your products, services, internal processes, and your organization’s capabilities.
- Receive the necessary education and training in quality to bring your organization’s awareness of quality principles and practices to a higher level.
- Gain an understanding of the internationally acclaimed Malcolm Baldrige criteria, evaluation, and scoring process.
- Receive a third-party, independent assessment without the expense of external consultants.
- Improve your ability to self-assess and analyze business processes identifying strengths as well as areas which need improvement.
- Receive recognition throughout the Department of Energy complex for your efforts and achievements at a special awards ceremony.
- Use the recognition you receive in your future presentations, correspondence, and other forms of communication.
- Obtain the opportunity to benchmark your quality and business systems as well as your approaches and deployment methodologies with others.
- Become part of an in-house cadre of business process improvement experts.

FEEDBACK TO APPLICANTS

Each applicant receives a written feedback report at the conclusion of the review process. The feedback is based upon the applicant’s responses to the examination criteria and site visit findings. Previous applicants have found the feedback report to be invaluable in developing an improvement action plan. See page 19 for a listing of organizations that have used the Energy Quality Award feedback to improve organizational performance and are willing to share their experience.

CONFIDENTIALITY

All applications will be treated as business confidential. Applicants are not expected to provide or to reveal classified or proprietary information regarding products, processes or services. Examiners are assigned in a way to avoid conflicts of interest. All Examiners sign nondisclosure

agreements. Information regarding non-award recipient participation may be released only after written approval from the applicant.

OBJECTIVITY

For the award process to be effective, there must be unquestionable fairness and objectivity for all concerned. The following policies are enforced.

- Members of the Panel of Judges are non-DOE affiliated, industry-recognized quality experts who are selected in accordance with the Federal Advisory Committee Act (FACA).
- The decisions of the Panel of Judges are submitted as recommendations to the Secretary of Energy.
- The Secretary of Energy uses the Judges' recommendations to make decisions for awards.
- Each examiner and judge is bound by a strict Code of Ethics and may not participate in any scoring or recognition decision where there may be, or could appear to be, any personal, professional, financial or other relationship or potential or perceived conflict of interest. Note, however, that all examiners are encouraged to support the development of applications by their own and/or other organizations as a valuable part of the continuous learning experience for all.

AWARD AND ENTRY REQUIREMENTS

The **Energy Quality Awards Program** is based on the promotion of quality awareness and best business practices for five performance levels:

Excellence Award - This is the top award given. It represents a refinement of approaches with several being outstanding, including key measures, good to excellent deployment with full deployment of some approaches, good to excellent improvement, and good results in most areas. Some outstanding activities and results are clearly demonstrated. There is good to excellent integrations with evidence of being an industry-to-world leader.

Achievement Award - Recognition through receiving this award represents a sound, systematic approach to many areas, with a fact-based improvement process in place in key areas. No major gaps in deployment are evident. Improvement trends and/or good performance are reported for most areas of importance.

Accomplishment Award - This award recognizes effective approaches in many areas, but deployment in some areas is still at early stages. Further deployment, measures, and results are needed to demonstrate integration, continuity, and maturity.

Champion Award - Recognition by this award represents a systematic approach to the primary purposes of most Baldrige Items, but deployment in some key areas is still too early to demonstrate results. Early improvement trends in some areas of importance to key requirements are evident.

Improvement Award - This is a special recognition for organizations that have progressed from beginning the development of good business practices that overcome important gaps to demonstrating early stages of systematic approaches in a few key business areas. Organizations receiving this award have not progressed to the level of Champion performance.

Commendation Award - This award recognizes the early stages of a systematic approach to the primary purposes of the Baldrige Items, but major gaps exist in approach and deployment of some Categories. Early stages of obtaining results stemming from approaches are evident.

Applications prepared for evaluation against the criteria for these awards are a maximum of 66 pages in length including a 4 page (maximum) organization overview and a 62 page assessment (counting all illustrative material such as charts, graphs, quality vision statement, etc.) written to the 29 Areas to Address of the 20 Items found in the 1998 Malcolm Baldrige National Quality Award (see Appendix). In 1998 applicants will use the full application for all awards.

Applicants are required to have a four-to-five day site visit. Following the site visit, the applicant will receive a written feedback report and have access to improvement effort support from the **Energy Quality Award Team**. The applicant agrees to provide one or more examiner trainees for 1998 based on the number of employees in the organization (see page 5).

ELIGIBILITY

The **Energy Quality Awards Program** is open to federal organizations, laboratories, and managing and operating (M&O) and managing and integrating (M&I) contractors meeting the following criteria:

1. The organization is a first-tier DOE federal organization with at least 50 full-time federal employees (i.e., an organization whose leader reports to the Office of the Secretary), or
2. The organization is a second-tier or lower autonomous DOE federal organization with at least 50 full-time federal employees, or
3. The organization is a DOE laboratory, or DOE M&O or DOE M&I contractor, or an autonomous unit thereof with at least 50 full-time employees.

Applications by organizations that do not satisfy one of these criteria may be considered on a case-by-case basis.

SUPPORTING SERVICE

Applicants receiving recognition and awards are encouraged to support the development of quality awareness and understanding for others participating in the **Energy Quality Awards Program**. Support includes providing examiner trainees for the applicant reviews and providing education and improvement effort support requested by applicants.

The number of examiner trainees to be nominated will be based on the number of employees in the organization, as follows:

0 - 400	Employees:	One Examiner Trainee
401 - 800	Employees:	Two Examiner Trainees
801 - 1500	Employees:	Three Examiner Trainees
1501 - 2500	Employees:	Four Examiner Trainees
2501 +	Employees:	Five Examiner Trainees

Please note that these are targets and may be exceeded. Examiner nomination forms are included with this application (see F3-F7) and are required to be submitted by February 23, 1998, to the Office of Quality Management, attention John Vetter, via facsimile (202-586-6056).

SCHEDULE FOR 1998

Notification of Intent to Apply	February 23, 1998
Examiner Self-nomination and Conflict of Interest Form due	February 23, 1998
Applications due	April 30, 1998
Examiner Training and Application Evaluation	May 18-22, 1998
Site Visits	May 25-August 7, 1998
Judges receive total package	August 17, 1998
Convene Panel of Judges	September 1, 1998
Secretarial approval	September 11, 1998
Order Awards	September 14, 1998
Feedback Reports distributed	September 30, 1998
Presentation of Awards	October 19, 1998*

*Note: Presentation of Awards date may change to accommodate the Secretary of Energy's calendar.

APPLICATION PROCEDURE

Intent to Apply and Submission of Applications

Organizations wishing to apply for an Energy Quality Award should submit their “Intent to Apply” by February 23, 1998, (use form on page F1) to Attn: Dr. John Vetter of the Office of Quality Management via facsimile (202-586-6056). Six copies of the application should be submitted to the Energy Quality Council, (Room 4B-172, QM-1, Forrestal Building, 1000 Independence Avenue, S.W., Washington, D.C. 20585) by April 30, 1998. Submit with each copy of your application a 1998 Energy Quality Award Application form found on page F2.

Organization Overview

Applications submitted should not contain classified or proprietary information. They should stand on their own with no assumption that an examiner has prior knowledge of the organization. Therefore, it is essential that the application include an overview of the organization. The overview will set the stage for the evaluation and help the examiners understand what is relevant and important to the applicant’s operation. As previously stated the overview is limited to four pages. It should include the following information about the organization:

1. Basic description of the organization including:
 - a. its mission, product and services;
 - b. extent of its business area;
 - c. employee profile; e.g., number, type, education, and union; and
 - d. major equipment, facilities and technologies.
2. Customer requirements including:
 - a. a list of its principal customers; and
 - b. a list of the quality requirements for major products and services.
3. Supplier requirements including:
 - a. the types and numbers of its principal suppliers; and
 - b. a description of any special business relationships with suppliers.
4. Competitive factor information that describes the organization’s knowledge or thoughts about where and in what it competes.
5. Other important factors including:
 - a. laws or regulations that significantly affect its operations;
 - b. major new thrusts or challenges facing it; and
 - c. a chart depicting its current organizational structure.

Hints for a High Quality Application

A. Requirements

The application should be written to the criteria in the 29 Areas to Address for the 20 Items described in the Appendix. A high-quality application is one that is succinctly and completely prepared. The more complete the application, the better the examiners can evaluate and properly score the written assessment. Terminology specific to the business of the organization should be fully defined. The application should not exceed the page limitations stated earlier. Excess pages will not be included in the evaluation and scoring. Application must be printed in no smaller than 12 point or 10 pitch font and be conservative in cost preparation.

B. Approach, Deployment and Results

Care should be taken to fully and concisely describe approaches taken and the related deployment methodologies, including the extent to which the approach has been deployed throughout the organization. Approaches are the “whats” and “hows” of conducting business. Deployment is the extent to which an approach is applied. Statements should be supported by facts and information that are clarifiable and verifiable. Assertions unsupported by plausible data, information, or facts will receive no credit. Results must be shown in quantitative format accompanied by a written explanation. The results displayed should be outcomes of approaches deployed. The following suggestions are offered to help you think about approach, deployment and results.

Approach

- Make the appropriateness of the approach apparent.
- Demonstrate the effectiveness of the approach, including:
 - it is systematic, integrated, consistently applied;
 - it embodies an evaluation/improvement cycle;
 - it is based upon objective reliable data and information.
- Show evidence that the approach is innovative, including significant and effective adoption of approaches used elsewhere.

Deployment

- Demonstrate how an approach is deployed to the extent it fully addresses the organization’s business requirements.
- Show evidence that the approach is used by all applicable work units.

Results

- Show hard data.
- Demonstrate performance trends.
- Demonstrate performance against:
 - goals or targets;
 - appropriate comparisons;
 - benchmarks.
- Show the rate and breadth of improvements.
- Demonstrate sustained improvements and/or high-level performance.

C. Reading the Criteria

Begin reading the Malcolm Baldrige criteria at the category objective level. Relate the category objective to the objective of the Item and the criterion shown in the Areas to Address. Read the notes provided for each Item and relate them to the criteria shown in the Areas to Address. Together, the objectives of the Category and Item, criteria in the Areas to Address, and description in the Notes provide the entire picture of what is being requested. The italicized words in the following example show the connectivity of the category and item objectives, criteria in the areas to address, and the description of the note for Category 1, Leadership.

Category 1, Leadership

Objective: “Category examines company’s *leadership system* and *senior leaders’ personal leadership*. It examines how senior leaders and the leadership system address values, company *directions*, *performance expectations*, a *focus on customers and other stakeholders*, *learning*, and *innovation*. Also examined is how the company addresses its societal responsibilities and provides support to key communities.”

Item 1.1, Leadership System

Objective: “Describe the company’s *leadership system* and how senior leaders guide the company in setting *directions* and in developing and sustaining *effective leadership* throughout the organization.”

Item 1.1, Leadership System Areas to Address

“Describe the company’s leadership systems, how senior leaders provide effective leadership, and how this leadership is exercised throughout the company, taking into account the needs and expectations of all key stakeholders. Include:

- (1) a description of the company’s leadership system and how it operates. Include how it addresses values, *performance expectations*, a *focus on customers and other stakeholders*, *learning*, and *innovation*; and
- (2) how senior leaders:
 - set and communicate company *directions* and seek future opportunities for the company, taking in account all key stakeholders;
 - communicate and reinforce values, *performance expectations*, a *focus on customers and other stakeholders*, *learning*, and *innovation*;
 - participate in and use the results of performance reviews; and
 - evaluate and *improve the leadership system*, including how they use their review of the company’s performance and employee feedback in the evaluation.”

Notes:

“Company performance reviews are addressed in Item 4.3. Responses to 1.1a(2) should therefore focus on the *senior leaders’ roles* in and uses of the review of overall company performance, not on the details of the review.”

D. Scoring

Scoring of the application will be based on the percentages assigned by the Malcolm Baldrige Award process in the scoring guidelines (see Appendix). Examiners will conduct site visits for all applicants. During the site visit, applicants should be prepared to meet with examiners and provide them with additional information as necessary. The additional information could cause the examination team to make a recommendation to the Panel of Judges that would result in an adjustment of the original application score.

E. Federal Organization and Contractor Company Responsibility and Citizenship.

Item 1.2, Organization Responsibility and Citizenship of Category 1, Leadership is a crucial part of the application. For this Item, the application should clearly describe how it handles any risk associated with managing the work performed by the federal organization or contractor company. The Department of Energy expects both contractors and federal organizations to meet all regulatory, legal, and ethical requirements related to its work. Further, the organization should explain how it anticipates and assesses potential impacts on areas of public concern and the Department so as not to result in negative reports and cost overruns.

F. Ten Common Mistakes

Malcolm Baldrige examiners have found from previous years that writers of applications make common mistakes. The following ten mistakes should be avoided when preparing an application.

1. Reiteration of words from the criteria.
2. Use of examples rather than description of a process.
3. No examples when they help illustrate a process.
4. Lack of specificity.
5. Presenting data on only a few measures.
6. Too many cross-references to other sections.
7. Responding with words when data is expected.
8. Responding with information irrelevant to the criteria.
9. Using too many acronyms.
10. Using too much department, quality, or management jargon.

G. Ten Rules for Graphs

In addition, there are ten rules for preparing graphics to be used in an application. They are:

1. Use text to explain graphs.
2. Don't repeat graphic information in the text.
3. Don't include more than two lines of data in a graph.
4. Show goals, targets, comparisons, and benchmarks.
5. Show improvement by using an ascending line.
6. Use scales that show maximum variability.
7. Separate historical or baseline data from current performance.
8. Use standard graphing formats.

9. Clearly and specifically label graphs.
10. Keep graphs simple and clutter-free.

Application Assistance

If you have questions concerning the award levels or application process, please contact:

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Application Mailing Address

Send six copies of your completed application by April 30, 1998, to:

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Request for Application Models

The following organizations will provide a copy of their 1997 application to be used as a model in preparing a 1998 application for the Energy Quality Award.

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NOTICE OF INTENT TO APPLY

1998 ENERGY QUALITY AWARDS

Name of Organization _____

Address: _____

The Organization is: (see page 4)

___Federal 1st-Tier ___Federal, not 1st-Tier ___M&O or M&I Contractor
or Subunit
___Laboratory or Subunit

Size of Organization: Number of employees _____

Identify Location of all sites: _____

Official Point of Contact in Applicant Organization:

Name: _____ Title: _____

Address: _____

Telephone: _____ Fax: _____

Print Name _____ Title _____
Highest Ranking Official in Organization

Signature _____ Date _____

1998 ENERGY QUALITY AWARDS APPLICATION
(This form must accompany the application. It is not counted in the page limit)

Name of Organization _____

Address: _____

The Organization is: (see page 4)

___ Federal 1st-Tier ___ Federal, not 1st-Tier ___ M&O or M&I Contractor
or Subunit
___ Laboratory or Subunit

Size of Organization: Number of employees _____

Identify Location of all sites: _____

Official Point of Contact in Applicant Organization:

Name: _____ Title: _____

Address: _____

Telephone: _____ Fax: _____

Certification: The information in this application is correct to the best of my knowledge. Permission is granted to duplicate and disseminate the application or to incorporate the information from the application into a video or to use it for training purposes.

Names and telephone numbers of examiners from my organization are attached or on the back of this form. I agree to pay for cost incurred for their examiner training, evaluation of applications, site visit(s), and preparation of feedback reports.

Print Name _____ Title _____
Highest Ranking Official in Organization

Signature _____ Date _____

**Energy Quality Awards
1998 Board of Examiner Self-Nomination**

Last Name _____ First _____ M.I. _____

Position _____ Organization _____

Work Address _____

_____ E-mail Address _____

Work Telephone _____ Work Fax _____

Note: Telephone numbers will be used to clarify information of potential examiners.

If you have been an Examiner previously, for one or more of the following, list the year(s).

- ☐ Energy Quality Award Examiner Year(s) _____
- ☐ State Quality Award Examiner Year(s) _____ State: _____
- ☐ Malcolm Baldrige/President's
Quality Award Examiner Year(s) _____

If you have been a Senior Examiner previously, for one or more of the following, list the year(s).

- ☐ Energy Quality Award Examiner Year(s) _____
- ☐ State Quality Award Examiner Year(s) _____ State: _____
- ☐ Malcolm Baldrige/President's
Quality Award Examiner Year(s) _____

List the organizations in which you have worked for the last 15 years.

Describe the areas (technical, professional, business, and quality) in which you have gained experience over the last 15 years.

Briefly explain how your experience is associated with the seven Baldrige categories and criteria.

Describe your specific experience during the last five years using the criteria in the seven Baldrige categories. Include Baldrige-like assessments. (Example: Evaluating internal organization processes, suppliers and/or customers; or participating in state, DOE, or organization award programs.)

Describe your experience in areas important to achieving business excellence.

Describe your educational background. If appropriate show the relationship of your education to quality philosophy and business excellence. Include significant training in quality management, quality tools, quality assurance, quality assessment, or a related function.

Briefly explain why you want to participate as an Energy Quality Award Examiner.

Certification: I commit to and understand that my participation in the following activities falls within my role as an Examiner or Senior Examiner.

I commit to:

- Spending the 30 to 40 hours needed to complete the pre-work associated with the Examiner training;
- Attending all Examiner training starting at 8 a.m. on Monday, May 18, and continuing through noon on Friday, May 22, 1998;
- Spending 4-to-5 days on site visits as required by the number of applications I am assigned;
- Spending approximately 20 hours on the finalization of the applicant's feedback report;
- Bringing to the Examiner training a series of possible dates for conducting site visits between May 25 and August 7, 1998.

I understand that if I do not complete the pre-work I cannot attend Examiner training.

Candidate's Signature and Date

I accept the commitment of my employee's time and my commitment to fund travel and related expenses for training, application evaluation, and preparation of feedback reports.

Supervisor's Signature and Date.

Print Name

Please fax to: 202-586-6056

DISCLOSURE OF CONFLICT OF INTEREST

Please list the Department of Energy organizations or prime contractor companies believed to be a conflict of interest for you as an Energy Quality Award Examiner. Consider those organizations from which you receive funding for work you perform, organizations to which you provide funding for performed work, or how you may bias the outcome of the application evaluation based on past relationships.

As an Energy Quality Award Examiner, I have or believe that I have a conflict of interest with the following Department of Energy organizations or prime contractor companies.

Print Name _____

Date _____

Signature _____

Date _____

Please fax to: 202-586-6056